CONTROL AND REPORTING PROCEDURES

Department of Transportation

DELPHI Program

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Contents

Introduction

Purpose

The purpose of this document is to define the procedures for Program Control and Reporting that will be used in the DELPHI Program.

Scope & Application

This document defines the following program management topics for the DELPHI Program:

- Issue Management
- Risk Management
- Change Control
- Status Monitoring and Reporting
- Deliverable Acceptance
- Program Communications

The procedures will be applied to the DELPHI team throughout the DELPHI Program.

Related Documents

1. Program Charter for DELPHI Program
2. Quality Plan for DELPHI Program

Control and Reporting Procedures

The Control and Reporting Procedures outline how program status is monitored and communicated within the program team and to DOT management. Specifically, there are procedures for managing issues, managing risks, controlling changes to scope/budget/timeline, reporting status, and reviewing and accepting deliverables.

Procedures Overview

Issue Management

This procedure defines how issues are identified and managed to resolution. The procedure can be implemented using the Issue Form and Issue Log (Appendix A and B).

Risk Management

This procedure defines how program risks are identified and managed to mitigate impact on the program schedule, budget, or functionality. The procedure will be implemented using the Risk Management Worksheet (Appendix E). Risk management is one of the key responsibilities of the Program Management Team (defined in the Quality Plan).

Change Control

This procedure defines how changes to program scope, budget, or timeline will be implemented. The procedure will be implemented using the Change Request Form and Change Request Log (Appendix C and D).

Status Monitoring and Reporting

This procedure defines how program status will be monitored and reported. Individual and team status reports, program budget tracking reports, issue and change control logs, quality audits and reviews, and the Program Status Reports will be used on a regular basis. Reporting includes reporting within the team, to DOT management, and to consultant/integrator.

Deliverable Acceptance

This procedure defines how DELPHI Program deliverables will be submitted for acceptance to the DELPHI Program Management Team. This includes who is responsible for preparing the submission, how revision requests from the Program Management Team are handled, and reporting deliverable approval status.

Program Communications

During program initiation, a DELPHI Communication Plan will be developed. This communication plan will consist of a defined vehicle or method, frequency, and audience for each formal communication that is required. This section outlines the requirements that must be addressed in developing the DELPHI Communication Plan.

Issue Management Procedures

Purpose

The purpose of the Issue Management Procedure is to define how issues are raised and resolved. It provides the means for the Program Management Team to effectively track the generation, assignment, and resolution of program issues.

The goal of this procedure is to structure and direct the Program Management Team in reaching a timely resolution of the issues, and ensure that closure decisions are acted upon. The intended result is to ensure continued progress on the program.

Scope

Every program has issues that hinder progress. Some of these issues will be beyond the means of the program team to resolve. For example, policy decisions, such as the creation of a new policy or an amendment to an existing policy, can have a significant impact on the system.

Definitions

Issue

An issue is a situation, action, concern or question arising during the performance of the program that requires a solution from program management or a decision authority outside the program team. Unresolved, an issue may impede or halt performance of program tasks by delaying or suspending work. Issues may indicate program risks, which are discussed in the Risk section of this document.

Escalation

The transfer to higher management the responsibility for the resolution of an issue.

Organization, Roles and Responsibilities

Within the overall program, individual groups (such as the business process groups or the technical infrastructure group) will be working on the detailed tasks. In their efforts, they will incur instances that require clarification, greater understanding, or more information.

Group leaders (defined in the Quality Plan) are responsible, within the limits of their authority, for resolving issues within the boundaries of their group's work effort. They will also be responsible for sharing issues and solutions with the other groups. If a group leader cannot resolve an issue, or recognizes that the issue impacts either budget, schedule or scope, then a formal issue should be initiated.

The next level of review is the DELPHI Project Manager (defined in the Quality Plan). The DELPHI Project Manager reviews the issue and, if unable to resolve it at this level, will escalate it to the Program Management Team. The Program Management Team will determine their ability to secure resolution of an issue. If required, they will further escalate the issue. The next levels are the Director of Financial Management, the Financial Management Committee, and finally the Deputy CFO. Issues that are escalated beyond the Program Management Team will require resolution/decision within 2 business days.

An issue will always be assigned to a single individual. The individual assigned to the issue may solicit resources necessary to gain closure, but retains responsibility for it.

Issue Tracking Information

The Program Management Team will maintain the current disposition of open issues. Tracking and updating issue information will be provided by the assigned program team member(s). The DELPHI Project Manager will maintain an Issue Log (Appendix B) that provides a summary of all program issues and their current status.

The issue may be documented on an Issue Form (Appendix A). The information recorded about an issue will contain the following:

- Origination:
    - Originator's Name
    - Program Phase or Process Area
    - Functional Area or part of the program that the issue relates to
    - Type: Issue
    - Date Identified
    - Reference Number
    - Description: full description of the issue and background information
- Current Disposition (update as needed):
    - Assigned to
    - Priority: High/Medium/Low
    - Target Resolution Date
    - Status: see table below
- Impact:
    - Indicate effect on one or more of the program constraints (budget, functionality, and schedule)
- Investigation:
    - Possible Action: possible actions to resolve the issue, including their impact in terms of disruption, time scale, cost, quality
- Resolution:
    - The recommended options for resolution
    - Date of Resolution
- Review History
    - If the issue must be escalated above the program office, record who the issue should be escalated to and why.
- Approval:
    - Accepted (consultant/integrator) and Date
    - Accepted (DOT) and Date
    - Associated Change Request Form Number where there is a need for a change request to be authorized to implement the approved issue resolution
    - Change Control Accepted on (Date)

Issue Status

The valid statuses for an issue are as follows:

Status	Description
Open	The issue has been identified but not yet assigned.
Assigned	The issue has been assigned to a responsible person for resolution.
Resolved	Resolution options for the issue have been recommended.
Approved	The recommended issue resolution has been approved. An approved issue may result in an action item or change request.

Procedure Steps

Raise a New Issue

Any program team member may raise an issue to the attention of their group leader by documenting it on an Issue Form, provided it meets the criteria of an “issue”. An issue is a situation, action, concern or question arising during the performance of the program which requires a solution from program management or a decision authority outside the program team. The information recorded about the issue should include any known potential impact to the program if the issue is not resolved.

Issues that originate from a source external to the program team (e.g. the Operating Administrations, or non-DOT entities) must be communicated first to the OFM. In such a situation, the OFM will communicate the issue to the DELPHI Program Management Team if it is deemed in the judgment of the OFM to require consideration within the DELPHI Program. If the Program Management Team determines that the issue is relevant to the DELPHI Program and requires consideration, a formal issue will be created. This issue would then follow the same steps for resolution as an internally originated issue.

Screen the Issue

The group leader will screen the issue and, if necessary, will update the Issue Form (or use the selected Issue Tracking tool) with background information to place the issue in perspective. Screening of the issue will result in one of the following:

1. Determination that the issue is already covered by an existing issue. This may involve updating the existing issue to reflect new information.
2. Discussion with the originator and other program members to see if a satisfactory solution can be reached before adding the issue to the Issue Log.
3. Decision that the issue will be resolved at the appropriate management level. The group leader tentatively identifies the phase/processes that apply, together with the functional area and the priority (high, medium, or low). The issue status at this point is *Open* and the issue is recorded in the Issue Log and assigned a sequential reference number.

Assign the Issue

The open issue will be assigned by the DELPHI Project Manager to a program team member. The status of the issue will then be changed to *Assigned*. A due date for completion of research and development of recommended resolution options will also be assigned. As a general rule, the due date should be set for no more than two weeks from the assigned date.

The person assigned will research the circumstances surrounding the issue with the originator and other members of the program. The goal of the research is to identify one or more possible courses of action which would resolve the issue. Where possible, this research should be carried out collaboratively as there may be alternative resolution options.

Recommended resolution will be reported by the assigned person to the DELPHI Program Manager on or prior to the due date. It may subsequently be necessary to perform additional investigation in order to obtain more information or explore other alternatives.

The following information will be recorded on the Issue Form (or in the selected Issue Tracking tool).

Status

- Set to *Assigned*

Description

- Related issues: any other issues related to this one (by reference number).
- Background: include enough information so someone new to the issue can understand it.
- Potential impact: the potential impact of not resolving the issue, both to the business and to the Program.
- Action taken to date: a history of what has happened so far, which should include names of people who have contributed to the discussion. This information will be listed in reverse chronological order.

Possible Action

- Describe one or more possible courses of action to resolve the issue.

Estimated Impact

- Business process impact — a discussion of the implications of the issue to the DOT. This may include the activities, approval steps, reports, entities, or policies that are impacted.
- Technical impact — a discussion of the implications of the issue to the system. This may include the menus, modules, data structures, or technical architecture being implemented.

Recommendation

- The assigned person will recommend options for resolving the issue, or identify the steps that need to be taken before a final decision can be made.

Recommend an Issue Resolution

Alternative resolutions to the issue or consideration of the steps that need to be taken before a final decision can be made will be discussed and documented in the Issue Form (or in the selected Issue Tracking tool) during issue review meetings. The DELPHI Project Manager will indicate a recommended resolution and change the status of the issue to *Resolved*. The *Resolved* status indicates a viable resolution has been determined and is pending approval from the appropriate authority.

Approve the Issue Resolution

The recommended resolution for the issue will be reviewed with the DELPHI Program Manager. If the DELPHI Program Manager agrees to the recommendation, the status of the issue is changed to *Approved*. If the issue must be escalated for approval, the DELPHI Program Manager will initiate escalation to the OFM. When approval is obtained at the proper level, the status of the issue is changed to *Approved*.

A change request will be raised if the resolution of the issue requires a change to program scope, budget, or timeline. The issue will be submitted as background information with the change request. Otherwise, an action item will be assigned to the appropriate program team member to implement the approved resolution. The action item's progress will be tracked in program management reviews (refer to Status Monitoring and Reporting section).

If a resolution cannot be determined until a later date, then a deferment date should be agreed upon, and interim actions taken to move the issue forward. The status of the issue remains as *Assigned*. If no action is to be taken, this is indicated in the Issue Form (or in the selected Issue Tracking tool) and the issue status is changed to *Approved*.

Escalate the Issue for Approval, if Necessary

If a resolution requires an approval or coordination by other authorities, then the issue will be escalated to the next level of approval, as indicated below. The escalation will be clearly indicated in the review history and noted on the Issue Form (or in the selected Issue Tracking tool). When approval is reached from the appropriate authority, the issue will be returned to the DELPHI Program Manager for implementation. Escalated issues will require resolution/decision turnaround of 2 business days.

Escalation Level	Responsible Roles or Organization	Criteria for Escalation to this Level
Group	Group Leader	Unresolved at team level.
Project	DELPHI Project Manager	Impacts workplan delivery dates.
Program	Program Management Team	Impacts: schedule by no more than 80 hours, and/or budget by no more than $10,000 and/or performance by altering release content.
OFM	DOT Director of Financial Management	DOT Policy Decision Required Impacts: schedule in excess of 80 hours, and/or budget in excess of $10,000 and/or performance by altering release content.
Financial Management Committee	DOT Financial Management Committee	Cross-Agency impact
Program Sponsor	DOT Deputy CFO	Impasse

Risk Management Procedure

Purpose

The purpose of the Risk Management Procedure is to define how the program will resolve significant problems. It allows the management team to develop mitigation strategies, and to act in a timely manner to minimize negative impacts on program budget, performance, or schedule.

Scope

Some program risks are identified in the Program Charter. As the program progresses, additional risks may be uncovered. The Program Management Team is responsible for identifying and mitigating potential risks.

Definitions

Risk A risk is the manifestation of an unplanned event that can negatively impact program budget, schedule, or functionality if not managed effectively.

Mitigation Action(s) designed to offset the impact of an identified risk.

Organization, Roles and Responsibilities

The Program Management Team is responsible for monitoring the external environment and influences that affect the program. The Program Management Team will identify risks, develop mitigation plans for each and inform the program team of risk status.

Risk Management Information

The Program Management Team will maintain the Risk Management Worksheet and the Risk Mitigation Plan (Appendix E and F). Each document will be updated with the current disposition of identified risks and their mitigation plan.

The information recorded about a risk will contain the following:

- Risk Inventory and Assessment Worksheet
    - Risk ID: a reference number
    - Risk Title: a brief description of the risk
    - Date Identified: expressed in MM/YYYY
    - Area of Impact: indicate if budget, schedule or performance for the program could be affected by the risk
    - Date of Probable Risk Impact: expressed in MM/YYYY
    - Risk Warning Flag: list events that indicate impact of a risk is imminent
    - Risk Probability: expressed as a percent
    - Potential Risk Cost: expressed in thousands of dollars

        - Probable Risk Cost: expressed in thousands of dollars
        - Risk Priority Category: High, Medium, Low
- Risk Mitigation
    - Description: full description of the risk and any background information
    - Risk Mitigation Action: planned action(s) to be taken to lessen the risk's impact
    - Risk Mitigation Results: what happened when the risk mitigation action was taken
    - Assigned to: who is responsible for the risk mitigation action
    - Target Removal Date
    - Status

Risk Status

The valid statuses for a risk are as follows:

Status	Description
Open	The risk has been identified but mitigation has not been developed.
Assigned	The risk has been assigned to a responsible individual for identification and execution of mitigation.
In Process	Risk mitigation has been executed, results are pending.
Complete	The risk no longer poses a threat to the program.

Procedure Steps

Identify Risks

Risks should be identified as early as possible by reviewing many sources of information. This includes written material as well as communication with people who may have insight into potential problems.

Once the risk is identified, it should be recorded. The risk's areas of impact and risk warning flags should be noted.

The area of impact is where damage would be noticed if the risk were to become a reality. This is typically cost, schedule , quality of deliverables or some combination of these.

A risk warning flag is a symptom that signals risk. Examples would be lack of meaningful status reports, lack of sponsorship attendance at key meetings, or time overruns on tasks. These flags are important to establish the parameters that must be monitored to analyze the risk.

Analyze Risks

Risk analysis quantifies the threat posed by each risk. Risk analysis helps determine the degree to which the risk can affect the program and indicates what resources should be employed to control or eliminate the risk. Risk analysis is an ongoing process.

As a part of risk analysis the following are identified:

- Risk Probability - is the probability of the risk occurring. High (70-90%), Medium (40-60%) or Low (10-30%).

- Estimated Potential Risk Cost – is using an estimation metric appropriate to the risk. Examples of estimation metrics are amount of delay or added resources.

- Prioritize Risk **-** assign a priority to a risk in relation to other identified risks in order to allocate resources to the risks with the highest priority. High priority, Medium priority, Low priority.

Produce Risk Mitigation Plan

The actions that can be taken to reduce the impact of a risk will be documented in the Risk Mitigation Plan (in Program Charter). This plan allows proactive rather than reactive management of risk.

Risk mitigation may be preemptive, direct or indirect. Preemptive mitigation eliminates or circumvents a risk before a problem occurs. Direct mitigation reduces or nullifies the risk before significant damage occurs. Indirect mitigation offsets or absorbs damage after a risk has occurred. Each risk mitigation will involve one or more actions.

Mitigate Risks

The actions taken to mitigate risk are taken in increasing levels of intensity. Effective mitigation is proactive and aggressive action is most effective.

Assess Mitigation Effectiveness

An objective measure of the effectiveness of the mitigation actions is made by reviewing the mitigation impact on schedule and performance of the program. This assessment is necessary to ensure program expectations are being met.

Reassess Exposure

The Program Management Team will monitor risk status as new risks are identified on a monthly basis.

Review Risks Periodically

Risks will remain active (in a status of *In Process*), even after approval of containment measures, until there is no possibility of them becoming a reality. All risks and mitigation measures should be periodically reviewed to ensure that the strategies for each are still appropriate. The Program Management Team will be responsible for scheduling reviews of active risks on a regular basis.

Change Control Procedure

Purpose

The Change Control Process is the primary vehicle for containing the scope of the program. It provides management the opportunity to make timely trade-offs among budget, schedule, and functionality.

This procedure provides a means for the DELPHI Program Management Team to review and make those changes which are jointly deemed to be important to the program's success. In order to make an informed decision, it is essential to the program that the benefits and costs of every requested change are clearly understood.

Scope

Any modification or deviation from the DELPHI Program functionality, schedule, or budget will be subject to this Change Control procedure. Change requests may be initiated by consultant/integrator or the DOT whenever there is a perceived need for a change. An approved change request signifies agreement to a change in program cost, functionality, or schedule.

The DELPHI Program Management Team will inform the DOT OFM when it appears that a change will cause a change in program cost and/or schedule. In such cases, the Program Management Team will prepare and submit a formal change proposal to the DOT OFM. If the change is approved, the Program Management Team will initiate any required changes to the program work plan, work schedules, statements of work, and vendor contracts.

Definitions

Change Request — A formal procedure for documenting and tracking change requests.

Scope — The work activities, software applications, data requirements, hardware, DOT agencies, and physical locations that comprise the program work effort. Initial scope is established in the Program Charter.

Scope Change — A scope change requires an adjustment to the program workplan, and almost always impacts program budget, functionality, and/or schedule.

Scope Creep — The cumulative effect of allowing scope changes after a program has begun, without due consideration of the impact on program budget or schedule. Scope creep arises from the misperception that small additions will not adversely affect program scope.

Escalation — The transfer of management approval of a change request to a higher level of decision-making authority.

Organization, Roles and Responsibilities

The Program Management Team has the responsibility to assimilate, prioritize, and estimate the effects of change requests. The Program Management Team will submit to the DOT Office of Financial Management the requirements for budget, schedule, or functionality related to a change request. The DOT Office of Financial Management will approve change requests affecting scope, cost, or schedule. The DELPHI Program Management Team will communicate approved change requests to the program team.

Change Request Tracking Information

The Program Management Team will maintain the disposition of change requests in the Change Request Form and Log (Appendix C and D).

The information recorded in the Change Request Form includes:

- Origination:
    - Originator's name
    - Date Identified
    - Change Request Number
    - Functional Area: e.g., the primarily affected system configuration or requirement
    - Phase: of the program
    - Change Details: description of proposed change, the reason for the proposed change, the impact of the proposed change and the implications of not performing the proposed change
- Current Disposition (update as needed):
    - Priority: High/Medium/Low
    - Category: program-specific classification of the change request
    - Assigned to
    - Date Resolution Required
    - Status: (see table below)
- Investigation:
    - Investigation: (relevant elements of the following):
        - Investigation to be completed by date
        - Related change requests
        - components affected
        - findings and recommendations
        - related issue(s) or risk(s)
        - related documents
        - business impact
        - technical impact
    - Estimated Impact: Effort, Cost and Schedule - document the total impact of the change, and optionally list each task required to complete the change and the effort required, associated costs, and the schedule to complete.
- Resolution:
    - Possible action (list changes): list configuration item changes, e.g., processes, functions, entities, tables/views, modules, documentation, etc. required to implement the recommended resolution.

    - Impact: Effort, Cost, and Schedule - document the total impact of the change. Optionally list each task required to complete the change and the associated effort, cost, and the schedule to complete.
- Approval:
    - Approved (consultant/integrator), Date:
    - Approved (DOT), Date:
    - Completion Verified By:
    - Completion Date:

Change Request Status

The valid statuses for a change request are as follows:

Status	Description
Open	The change request has been identified and documented
Assigned	The change request has been assigned to a team member that will be responsible for investigation and documentation, including impacts upon plan activities, timeline, and resources.
Pending Decision	The change request is being reviewed by the Program Management Team and/or the appropriate DOT decision maker.
Closed	A decision has been made on the change request, either approval or denial

Procedure Steps

Initiate the Change Request

The need for a change request can be identified by a DELPHI Program team member as a result of an issue, problem, report, document, conversation, or other form of communication. The origination information will be filled out in a new Change Request Form, and the form submitted to the Program Management Team. The Program Management Team will ensure the change request is recorded as *Open* in the Change Request Log and is assigned a sequential reference number.

The Program Management Team will review and, if necessary, question the need for the change. If the Program Management Team determines that no action is necessary, the change request will be closed by changing its status to *Closed*, with an appropriate annotation giving the reason for denial. The originator of the change request will be informed of the action as well.

Otherwise, the Program Management Team will assign the change request to a program team member for investigation. The Program Management Team will also assign a priority and target resolution date to the change request, and change the status to *Assigned*.

In some cases the investigation may be lengthy. In these cases the Program Management Team will request an estimate for completion from the investigator the effort to conduct the investigation will be identified on the change request.

Investigate the Change Request

The investigator will identify the items affected and the tasks necessary to perform the change. The impact of not performing the change will also be evaluated. The investigator will also estimate how the change would affect the program in terms of schedule, functionality, and cost.

The investigator will solicit input from all parties affected by the change request, to include personnel external to the DELPHI Program. The investigation findings will be documented by the investigator on the Change Request Form. Once the investigator has determined possible solutions, options should be reviewed with the parties requesting the change for their agreement on which option meets their requirements. This review should also be recorded on the Change Request Form.

The results of the investigation and recommended options are then presented to the Program Management Team by the assigned due date. The status of the change request is updated to *Pending Decision*.

Resolve the Change Request

The Program Management Team will take one of the following actions based on the investigation results:

1. Recommend that no action be taken.
2. Determine that the change request does not affect a program baseline or program scope, and approve the change for implementation.
3. Prepare a detailed estimate of actual cost and schedule impacts in the Change Request Form.
4. Prepare a formal change proposal for submission to the DOT OFM.

The estimates and impact of the change are the responsibility of the Program Manager with inputs from consultants. The change request with estimates of cost and impact will be escalated to the OFM/Program Sponsor. A decision by the OFM/Program Sponsor will be required within 2 business days of all change requests that are elevated.

If the OFM/Program Sponsor agrees with the resolution and its related costs, the approving authority will sign off on the change request. If the OFM/Program Sponsor does not approve the change request as recommended, the proposed change will be re-negotiated if possible, or withdrawn. The final decision will be documented on the Change Request Form.

After completion of one of the above actions, the Program Management Team will indicate the resolution and approvals on the Change Request Form. The change the status of the change request will be *Closed*.

Escalate the Change Request for Approval, if Necessary

If a change requires approval/coordination by other DOT authorities, it will be escalated to the next level of approval, as indicated below. The escalation will be indicated in the review history and the responsible manager will be updated in the Change Request Form. Escalated change requests will require decision within 2 business days. If approval is reached with the appropriate authority, the change request will be returned to the Program Management Team for implementation.

Escalation Level	Responsible Roles or Organization	Criteria for Escalation to this Level
OFM	DOT Director of Financial Management	DOT Policy Decision Required Impacts: schedule in excess of 80 hours, and/or budget in excess of $10,000 and/or performance by altering release content.
Financial Management Committee	DOT Financial Organization	Cross-Agency impact
Program Sponsor	DOT Deputy CFO	Impasse

Initiate and Monitor Change Implementation

When approved, the change request is implemented. The change request will be scheduled for implementation by incorporating its tasks and deliverables into the program work plan. If there are changes to consultant statements of work or vendor contracts, these must be completed and executed by the appropriate authorities.

The Change Request Log will be reviewed at progress meetings to track changes in progress. Once a change request is complete, the Program Management Team will ensure the completion date is recorded on the Change Request Form and all related documentation is compiled and retained in the DELPHI Program files.

Status Monitoring and Reporting Procedure

Purpose

The Status Monitoring and Reporting Procedure defines how the DELPHI Program will collect, assess, report and act on information about the progress of the program.

Scope

This procedure applies to all activities for the DELPHI Program.

Definitions

Progress Review A regularly scheduled meeting at which quantitative and qualitative information about the accomplishments of the program team and identified issues and risks are reviewed and discussed. At these reviews management directs corrective actions and further planning, and identifies new issues and risks.

Timesheet A document used by all members of the DELPHI Program to record the time they expend to complete one of their assigned tasks.

Issue An unprogrammed situation, action, concern or question arising during the performance of the program which requires a management solution.

Risk An unknown manifestation of an event that could negatively impact program budget, schedule or functionality if it is not managed effectively.

Action Item A directive to a program team member to perform a specified action by a specified date.

Meeting Minutes A written summary of the agenda, attendees, discussion points, information presented, action items, and decisions reached during a program meeting.

Organization, Roles and Responsibilities

Group/Team Members

All group/team members will report their individual status and progress of their assigned tasks to their respective group leaders weekly. This will be done formally during the weekly group progress review meeting and on timesheets. Significant changes will be communicated informally as they occur. Through this formal and informal process, the group members will report their status for the prior week, planned activities for the coming week, and issues or problems.

Group Leaders

All group leaders will report the status of the activities within their respective groups to the DELPHI Program Management Team on a weekly basis. This will be done in the program progress review meeting, and the submission of timesheets. Significant changes will be communicated informally as they occur. Through this formal and informal process, each group leader will report the status of their group for the prior week, planned activities for the coming week, and issues or problems as they occur.

DELPHI Project Manager

The DELPHI Project Manager will monitor updates to the program plan, updates to problems, issues, and change requests, and updates to program risks and mitigation plans. The DELPHI Project Manager will also participate in the development of the bi-weekly status report to the OFM.

Consultant Project Manager

The consultant Project Manager will provide a weekly report of consulting resource hours and expenses to the DOT Program Management Team for use in tracking progress.

Integrator Program Manager

The integrator Program Manager will provide a weekly report of integrator resource hours and expenses to the DOT Program Management Team for use in tracking progress.

DELPHI Program Manager

The DELPHI Program Manager will produce a bi-weekly program status report for OFM that summarizes the progress of the program, and highlights issues and problems.

Status Monitoring and Reporting

The following is a description of the information which is used to track the status of the program:

Workplan Time Reporting

Weekly, each member of the DELPHI Program will submit a timesheet indicating the hours expended for each task they worked during the prior week, and suggested revised task completion dates (if applicable). Additionally, group leaders will update the status and percent complete of the tasks for which they are responsible. Task completion dates will only be revised if approved by the Program Management Team.

Program Status Reporting

Bi-weekly, the DELPHI Program Manager will produce a program status report on the progress of major activities of the program. This report summarizes the major activities completed, those in progress, issues or problems, and cumulative progress against plan. The basis for this report are the group status reports, program progress review meetings, and time reports. This will be provided to the OFM. A sample of this report is provided in Appendix I.

Group Status Reporting

Weekly, group leaders will produce a status report detailing the activities of their respective groups. This will be provided to the DELPHI Program Management Team by end of business day each Monday afternoon for the previous week. A sample of this report is provided in Appendix H.

Site Visit Reporting

Site Visit Reports will be produced by visiting specialists (e.g., DOT Quality Auditors, consultant Quality Auditors, hardware vendor performance engineers/platform designers) and reviewed by the Program Management Team. All identified issues will be discussed at the program progress review meetings, and added to the issue tracking mechanism when appropriate.

Issue Log, Change Request Log and Risk Mitigation Plan

A description of these documents and their purpose is provided elsewhere in this document. These are reviewed at regular intervals by the Program Management Team as input to the status of the program.

Progress Review Meetings

The agendas, attendees, inputs and outputs for the review meetings are given below. The output from each of these meetings will be meeting minutes which are distributed to all attendees. Copies to be sent to non-attendees are indicated below. Additional outputs from meetings are also noted.

Group Progress Review (weekly)

Agenda:

1. Workplan Progress
2. Issue Log
3. Change Request Log
4. Action Items
5. Other Business

This meeting will occur each Monday morning, covering the activities of the prior week. The input to this meeting will be the weekly progress reported by the group members. Each group leader will chair his/her respective group meeting. The group leader or his/her delegate will record and publish the meeting minutes. Minutes will be distributed to the attendees and the Program Management Team. The other output of this meeting will be the weekly group status report to the Program Management Team. Attendees of the Group Progress Reviews are as follows:

Title	Representing
Group Leader	Program Group
Group Members	Business Process Areas, Applications, Technical Infrastructure

Program Progress Review (weekly)

Agenda:

1. Workplan Progress
2. Program Milestones and Deliverables
3. Business progress:
    - Changes to task completion dates
    - Changes in business process or policy
    - Changes to requirements
4. Planning for program resources for next month
5. Issue Log
6. Change Request Log
7. Action Items

8. Other Business

This meeting will occur each Tuesday morning, covering the activities of the prior week. The input to this meeting will be the weekly progress reported by the group leaders. The DELPHI Project Manager will chair this meeting. The DELPHI Project Manager or his/her delegate will record and publish the meeting minutes. Minutes will be distributed to the attendees of this meeting. The other output of this meeting every other week is the bi-weekly program status report to the OFM. Attendees of Program Progress Reviews are as follows:

Title	**Representing**
DELPHI Program Management Team (DOT, integrator, consultant)	Program Management Office
Group Leaders	Program Groups

Deliverable Acceptance Procedures

Purpose

Deliverables and their acceptance criteria will be defined during the early stages of the program. These deliverables will be completed and submitted to the DELPHI Program Management Team at least one week prior to the milestone dates defined in the program plan.

This Deliverable Acceptance Procedure defines how the Program Management Team will formally review and approve the deliverables produced by the groups in the DELPHI Program. In developing integrated business solutions, work completed early in the program often serves as the basis for subsequent work. This process will provide assurance that completed deliverables are accepted by the DELPHI Program Management Team prior to commencement of subsequent work which is based upon those deliverables.

Group leaders will be responsible for submitting to the DELPHI Program Management Team the completed deliverables from their respective group. The group leaders must submit deliverables at least one week prior to the milestone date in the plan. The Program Management Team members will be responsible for review, feedback, and formal acceptance of completed deliverables in a timely manner. Due to frequent involvement and communication between the Program Management Team and program groups throughout the program, at the time of submission the Program Management Team should already be substantially familiar with the contents of the deliverables, allowing for quick review and turnaround.

Turnaround of the results of a deliverable review will be completed by the Program Management Team within <u>two working days</u> of submission.

The group leaders for each program group will be responsible for tracking and reporting the status of the deliverables for his/her group to the DELPHI Project Manager during weekly progress meetings.

Submission and Acceptance Process

1. When a deliverable is completed by a program group, the group leader will prepare a deliverable acceptance form (Appendix G). This form identifies the program group, group leader, deliverable, and submission date and Program Management Team turnaround due date by revision. Space for multiple revisions is provided. The acceptance criteria associated with the deliverable is also provided on the form. The form contains a section with space for each Program Management Team member to sign and date to indicate their acceptance of the deliverable.
2. The DELPHI Project Manager will submit the deliverable acceptance form and completed deliverable to the DELPHI Program Management Team.
3. The Program Management Team members will review the deliverable. This may occur collectively or individually, depending on the deliverable.
4. If there are revisions resulting from the review of any of the Program Management Team members, these will be consolidated and provided to the DELPHI Project Manager within one week of submission. If necessary, the Program Management Team members will discuss the revisions with the DELPHI Project Manager to provide a clear understanding of the revisions. The DELPHI Project Manager will assess the extent of revisions and establish a new milestone date for the re-submission of the revised deliverable to the Program Management Team. The DELPHI Project Manager will coordinate the completion of the

revisions to the deliverable and re-submission to the Program Management Team according to the new milestone date.

5. If there are no revisions resulting from the review of any of the DELPHI Program Management Team members, the Program Management Team will indicate their acceptance of the deliverable by signing and dating the deliverable acceptance form. A copy will be retained in the DELPHI Program documentation. The original will be provided to the DELPHI Project Manager within one week of submission of the deliverable.
6. If the DELPHI Project Manager does not receive an indication of revisions or acceptance from the DELPHI Program Management Team by the turnaround due date (one week following submission), the deliverable will be considered accepted.
7. The group leader for each group will track the status of the deliverables of his/her group on an ongoing basis. Deliverable status will be included in each group leader's status report.

Program Communications

Purpose

The communication plan defines the vehicle or method for each formal communication that is required on an on-going basis during the DELPHI Program. Along with this will be a defined frequency and audience for each communication.

This plan is important due to the size, scope, and approach of the program. For example, due to the global design approach, there will be the need for frequent communications with all of the DOT Operating Administrations throughout the course of the program. Another key area is DOT communication of functional gaps or requirements back to the consultant Federal Applications Advisory Board and development group. This section outlines these requirements and others that must be addressed in developing the DELPHI communication plan.

Scope

The communication plan's scope comprises the definition of DELPHI Program communications required by the DELPHI team, DOT Program Sponsor, OFM, DOT Financial Management Committee members, and the consultant Federal Applications Advisory Board and consultant Federal Applications development group. This includes the definition of communications vehicle or method, frequency, and audience.

The responsibility for executing the communications plan resides with the DOT Program Management Team. However, communications will be carried out by all of the program team members during the course of the program.

Required Communications

The following areas are addressed in the communications plan.

Internal to the DELPHI Program Team

- New federal policies and regulations that may impact the program. The Program Management Team will communicate these to the program team members.
- Policies and policy changes that are identified through design activities. The program team members will communicate these to the Program Management Team.
- Gaps between federal requirements and consultant functionality that the DELPHI team identifies during the course of the program. The group leaders will provide this information to the Program Management Team on a regular basis.
- Normal program communications among team members, leaders, and managers.

External to the DELPHI Program Team

- DELPHI activities and progress to the DOT OA Financial community at-large will be a necessary and regular occurrence. This is in addition to the scheduled OA user participation that will occur as defined in the program plan.
- DELPHI activities to government entities outside of the DOT (e.g. Treasury). The requirement for such communications must be determined.

- Policies and policy changes that are identified by the DELPHI team to the OFM and FMC. The Program Management Team will communicate these to the OFM and FMC for further action.

Oracle

- Gaps between federal requirements and Oracle functionality that the DELPHI team identifies during the course of the program to the Oracle Federal Applications Advisory Board and Federal Development Group. The Program Management Team will communicate these gaps to Oracle on a regular basis.

Appendices

Appendix A - Issue Management Form (see following page)

ISSUE MANAGEMENT FORM

Ref: ________Issue #:

<table>
<tr><td>Originator's Name:
Phase/Process:
Functional Area:
Type: Issue</td><td>Priority: High/Medium/Low
Date Raised:
Assigned to:
Target Resolution Date:</td></tr>
<tr><td colspan="2">Impact: Schedule/Cost/Performance (Circle all that apply)</td></tr>
<tr><td colspan="2">Status: Open/Assigned/Resolved/Approved (Circle one)</td></tr>
<tr><td colspan="2">Description:</td></tr>
<tr><td colspan="2">Possible action:

Estimated Impact:</td></tr>
<tr><td colspan="2">Possible action:

Estimated Impact:</td></tr>
<tr><td colspan="2">Review History (if escalated above Program Manager):</td></tr>
<tr><td colspan="2">Recommendation:</td></tr>
<tr><td>Accepted (consultant/integrator):

Date:</td><td>Accepted (DOT):Date:</td></tr>
<tr><td>Associated Change Request Form:</td><td>Change Control Accepted on:</td></tr>
<tr><td colspan="2">Form 71/V2 Page __ of ___</td></tr>
</table>

Appendix B - Issue Log (see following page)

ISSUE LOG

Ref: _________

Issue No.	Description	Assigned to	Priority	Expected Resolution By (date)	Impact on other Issues	Current Status	Resolution

Status: O=Open S=Assigned R=Resolved A=Approved

Priority: H=High M=Medium L=Low

Appendix C - Change Request Form (see following page)

CHANGE REQUEST FORM

Ref: _________Change Request #:

Originator's Name: **Functional Area:** **Phase/Process:** **OA Request?:** YES/NO (*Circle one*)	**Priority:** High/Medium/Low (*Circle one*) **Date Raised:** **Assigned to:** **Date Resolution Required:**
Status: Open/Assigned/Pending/Closed (*Circle one*)	
Change Details (description of proposed change, the reason for the proposed change, the impact of the proposed change and the implications of not performing the proposed change):	
Investigation: **Estimated Impact: Effort:** **Cost:** **Schedule:**	
Possible Action (list changes): **Actual Impact: Effort:** **Cost:** **Schedule:** **Reviewed by:**	
Accepted (consultant/integrator**):** **Date:**	**Accepted (DOT):** **Date:**
Completion Verified By:	**Completion Date:**
Associated Problem Report:	**Associated Risk or Issue Form:**
Form 18/V2	Page __ of ___

Appendix D - Change Request Log (see following page)

CHANGE REQUEST LOG

Ref: __________

CR No.	Description	Originator	Date Raised	Current Status	Date Approved	Date Closed

Status: O=Open A=Assigned P=Pending C=Closed

Appendix E - Risk Mangement Worksheet (sample format)

Risk Management Worksheet

Risk ID Num.	Risk Title	ID Date	Area of Impact	Probable Impact Date	Risk Warning Flags	Risk Probability (%)	Potential Risk Cost ($K)	Probable Risk Cost ($K)	Risk Priority
1.	Scope increases by 10%	7/94	B, S	11/94	Schedule delays or cost increases	75	80	60	High
2.	Standards change	7/94	B, S	12/94	Rework increases	50	50	25	Medium
3.	Team inexperienced In technology	7/94	B, S, F	10/94	Schedule delays, cost increases, or quality issues	20	80	16	Low

B = Budget S = Schedule F = Functionality

Appendix F - Risk Mitigation Plan (sample format)

Risk Mitigation Action	Risk Mitigation Results	Person Responsible	Target Removal Date	Status
Set a firm baseline for the scope of the program.		DELPHI Project Manager	8/94	Active
Gain a commitment from the Program Sponsor to control program budget and schedule.	User management has issued a memo to the team stating a goal of completing the program on time and under budget by 10%	DELPHI Project Manager	8/94	Complete

Appendix G - Deliverable Acceptance Form (sample format)

Deliverable Acceptance Form

Group:	
Group Leader:	
Prepared By:	Team Member
Date Submitted:	Date Submitted
Date Due to OFM:	Date due to OFM by OA Users
Date Due to MMAC	Date due to MMAC by OFM

DELIVERABLE DESCRIPTION:

Description of Deliverable

OA Users: ☐ **Check if not applicable**

Organiza-tion	Date	Organiza-tion	Date	Organiza-tion	Date
BTS		**FAA**		**FHWA**	
FTA		**FRA**		**MARAD**	
NHTSA		**OIG**		**OST**	
RSPA		**STB**		**TASC**	
USCG		**Volpe Center**			

OFM:

Name	Date	Name	Date

Oklahoma City Program Management Team:

Title	Date	Title	Date
Consultant Project Manager		**Integrator Program Manager**	
DELPHI Technical manager		**DELPHI Project Manager**	
DELPHI Program Manager		**Conversion and Interface Lead**	
Communication and Training Lead			

ACCEPTED BY: ____________________ **Date:** ____________________

REJECTED BY: ____________________ **Date:** ____________________

REASON FOR REJECTION:

COMMENTS:

Appendix H - Weekly Group Status Report (sample format)

MEMORANDUM

To: Rita Haley
Keith Nelson
Keith Burlison
Communication and Training Lead

CC:
Kevin Chin
Ken Matz
<group leader 2>
<group leader 3>
<group leader 4>

From: <group leader 1>

Date: February 9, 1998

Subject: <group 1> Status Report - Week Ended February 6, 1998

CHANGES TO TASK END DATES

Task ID	Task Name	Plan End Date	Percent Complete	Revised End Date

REASON FOR CHANGES

- ❑

SIGNIFICANT ISSUES/ACTIONS TAKEN

- ❑

ACCOMPLISHMENTS – WEEK ENDED 2/6/98

- ❑ **Tasks Started**
  - ❑
- ❑ **Tasks Continued**
  - ❑
- ❑ **Tasks Completed**
  - ❑

PLANNED ACCOMPLISHMENTS – WEEK ENDING 2/13/98

- ❑ **Tasks to be Started**
  - ❑
- ❑ **Tasks to be Continued**
  - ❑
- ❑ **Tasks to be Completed**
  - ❑

GROUP TIME-OFF/ABSENCE SCHEDULE

Group Member Name	From Date	Through Date	Planned/ Unplanned

Appendix I - Bi-weekly Program Status Report (sample format)

MEMORANDUM

To: OFM

CC:
Kevin Chin
Ken Matz

From: Rita Haley
Keith Nelson
Keith Burlison
Communication and Training Lead

Date: February 11, 1998

Subject: DELPHI Program Status Report - 1/26/98 - 2/6/98

SUMMARY OF PROGRAM PROGRESS

- ❑

CHANGES TO CRITICAL PATH TASK END DATES

Task ID	Task Name	Plan End Date	Percent Complete	Revised End Date

REASON FOR CHANGES/ACTION PLANS

- ❑

PROBLEMS/ISSUES

- ❑

CHANGE REQUESTS

- ❑

RISKS

- ❑

BUDGET SUMMARY TO-DATE

Org.	Labor Actual - Current Period	Labor Actual - Total To-Date	Expense Actual - Current Period	Expense Actual - Total To-Date
DOT				
Oracle				
CSC				
Total				